

**Notice of Allowability**

Application No.

09/560,555

Examiner

William H. Wood

Applicant(s)

STEPHENSON ET AL.

Art Unit

2193

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--**

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to 10 November 2005.
2. ☒ The allowed claim(s) is/are 1-51.
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
  - a) ☐ All    b) ☐ Some\*    c) ☐ None    of the:
    1. ☐ Certified copies of the priority documents have been received.
    2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
    3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
  5. ☐ CORRECTED DRAWINGS ( as "replacement sheets") must be submitted.
    - (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review ( PTO-948) attached
      - 1) ☐ hereto or 2) ☐ to Paper No./Mail Date \_\_\_\_\_.
    - (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

1. ☐ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3. ☐ Information Disclosure Statements (PTO-1449 or PTO/SB/08),  
Paper No./Mail Date \_\_\_\_\_
4. ☐ Examiner's Comment Regarding Requirement for Deposit  
of Biological Material
5. ☐ Notice of Informal Patent Application (PTO-152)
6. ☒ Interview Summary (PTO-413),  
Paper No./Mail Date 2/14/06.
7. ☒ Examiner's Amendment/Comment
8. ☒ Examiner's Statement of Reasons for Allowance
9. ☐ Other \_\_\_\_\_.

## EXAMINER'S AMENDMENT

### *Examiner's Amendment*

1. An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Patrick Garret on 17 February 2006.

1. *(currently amended)* A method for precise feedback data generation and updating during compile-time optimizations, within an optimizing compiler, comprising:

(a) accessing a first intermediate representation of source code of a computer program, wherein said first intermediate representation includes instructions instrumented into the source code of said computer program;

(b) annotating said first intermediate representation with previously-gathered frequency data from a plurality of sample executions of said computer program;

~~(c) updating said frequency data to maintain accuracy of said frequency data during compilation in a direction of increasing exactness;~~

~~(d)~~ (c) performing an optimization of said first intermediate representation annotated with said frequency data ~~updated in step (e)~~, thereby producing a transformed intermediate representation; and

(d) updating said frequency data to maintain accuracy of said frequency data during compilation in a direction of increasing exactness of frequency data based on the transformed intermediate representation caused by the optimization; and

(e) repeating steps (c) and (d) at least once during the same compilation pass.

2. *(currently amended)* The method of claim 1, wherein step ~~(d)~~ (c) comprises the step of performing at least one of the following optimizations:

- (i) dead code elimination;
- (ii) dead store elimination;
- (iii) branch elimination; and
- (iv) code transformation.

3. *(original)* The method of claim 1, wherein said first intermediate representation is a tree corresponding to a procedure within the source code of said computer program.

4. *(previously presented)* The method of claim 3, wherein step (b), comprises the steps of:

(i) constructing a control flow graph from said tree; and  
(ii) annotating a frequency value to an edge of said control flow graph,  
wherein said frequency value corresponds to the number of times that said edge was  
traversed during said plurality of sample executions of said computer program.

5. *(previously presented)* The method of claim 4, wherein said frequency  
value annotated to said edge of said control flow graph is one of the following:

- (a) EXACT;
- (b) GUESS;
- (c) UNKNOWN;
- (d) UNINIT; and
- (e) ERROR.

6. *(currently amended)* A computer program product comprising a computer  
usable medium having computer readable program code means embodied in said  
medium for causing an application program to execute on a computer that performs  
precise feedback data generation and updating during compile-time optimizations,  
within an optimizing compiler, said computer readable program code means comprising:

first computer readable program code means for causing the computer to  
access a first intermediate representation of source code of a computer program,  
wherein said first intermediate representation includes instructions instrumented into the  
source code of said computer program;

second computer readable program code means for causing the computer to annotate said first intermediate representation with previously-gathered frequency data from a plurality of sample executions of said computer program;

~~third computer readable program code means for causing the computer to update said frequency data to maintain accuracy of said frequency data during compilation in a direction of increasing exactness;~~

~~fourth~~ third computer readable program code means for causing the computer to perform an optimization of said first intermediate representation annotated with said frequency data ~~updated by said third computer readable program code means,~~ thereby producing a transformed intermediate representation; ~~and~~

fourth computer readable program code means for causing the computer to update said frequency data to maintain accuracy of said frequency data during compilation in a direction of increasing exactness of frequency data based on the transformed intermediate representation caused by the optimization; and

fifth computer readable program code means for causing the computer to re-execute said third and fourth computer readable program code means at least once during the same compilation pass.

7. (original) The computer program product of claim 6, wherein said first intermediate representation is a tree corresponding to a procedure within the source code of said computer program.

8. (*original*) The computer program product of claim 7, wherein said second computer readable program code means comprises:

sixth computer readable program code means for causing the computer to construct a control flow graph from said tree; and

seventh computer readable program code means for causing the computer to annotate a frequency value to an edge of said control flow graph, wherein said frequency value corresponds to the number of times that said edge was traversed during said plurality of sample executions of said computer program.

9. (*currently amended*) A method for compile-time optimization comprising:

(a) accessing a first intermediate representation of source code of a computer program, wherein the first intermediate representation includes instructions instrumented into the source code;

(b) annotating the first intermediate representation with previously-gathered global and local frequency data from a plurality of sample executions of the computer program;

~~(c) updating the global and local frequency data to maintain accuracy of said frequency data during compilation in a direction of increasing exactness;~~

~~(d)~~ (c) performing an optimization of the first intermediate representation annotated with the global and local frequency data ~~updated in step (c)~~ to produce a transformed intermediate representation; and

(d) updating said local frequency data to maintain accuracy of said local frequency data during compilation in a direction of increasing exactness of local frequency data based on the transformed intermediate representation caused by the optimization; and

(e) repeating steps (c) and (d) at least once during the same compilation pass.

10. *(currently amended)* The method of claim 9, wherein step ~~(d)~~ (c) comprises the step of performing at least one of the following optimizations:

- (i) dead code elimination;
- (ii) dead store elimination;
- (iii) branch elimination; and
- (iv) code transformation.

11. *(previously presented)* The method of claim 9, wherein the first intermediate representation is a tree corresponding to a procedure within the source code.

12. *(previously presented)* The method of claim 11, wherein step (b) comprises the steps of:

- (i) constructing a control flow graph from the tree; and

(ii) annotating a global or local frequency value of the global and local frequency data to an edge of the control flow graph, wherein the global or local frequency value corresponds to the number of times that the edge was traversed during the plurality of sample executions of the computer program.

13. (*previously presented*) The method of claim 12, wherein the global and local frequency value annotated to the edge of the control flow graph is one of the following:

- (a) EXACT;
- (b) GUESS;
- (c) UNKNOWN;
- (d) UNINIT; and
- (e) ERROR.

14. (*currently amended*) A method for compile-time optimization comprising:

- (a) accessing a first intermediate representation of source code of a computer program, wherein the first intermediate representation includes instructions instrumented into the source code;
- (b) annotating the first intermediate representation with previously-gathered frequency data from a plurality of sample executions of the computer program;



~~(c) — updating the frequency data to maintain accuracy of said frequency data in a direction of increasing exactness at multiple points during a compilation process;~~

(d) (c) performing an optimization of the first intermediate representation annotated with the frequency data ~~updated in step (c)~~ to produce a transformed intermediate representation; and

(d) updating said frequency data to maintain accuracy of said frequency data during compilation in a direction of increasing exactness of frequency data based on the transformed intermediate representation caused by the optimization; and

(e) repeating steps (c) and (d) at least once during the same compilation pass.

15. *(currently amended)* The method of claim 14, wherein step ~~(d)~~ (c) comprises the step of performing at least one of the following optimizations:

- (i) dead code elimination;
- (ii) dead store elimination;
- (iii) branch elimination; and
- (iv) code transformation.

16. *(previously presented)* The method of claim 14, wherein the first intermediate representation is a tree corresponding to a procedure within the source code.

17. (*previously presented*) The method of claim 16, wherein step (b) comprises the steps of:

- (i) constructing a control flow graph from the tree; and
- (ii) annotating a global or local frequency value of the global and local frequency data to an edge of the control flow graph, wherein the global or local frequency value corresponds to the number of times that the edge was traversed during the plurality of sample executions of the computer program.

18. (*previously presented*) The method of claim 17, wherein the global or local frequency value annotated to the edge of the control flow graph is one of the following:

- (a) EXACT;
- (b) GUESS;
- (c) UNKNOWN;
- (d) UNINIT; and
- (e) ERROR.

19. (*previously presented*) The method of claim 17, wherein the global or local frequency value annotated to the edge of the control flow graph is one of the following:

- (a) GUESS; and
- (b) UNKNOWN.

20. (*currently amended*) A method for compile-time optimization comprising the steps of:

(a) accessing a first intermediate representation of source code of a computer program, wherein the first intermediate representation includes instructions instrumented into the source code;

(b) annotating the first intermediate representation with previously-gathered estimated frequency data from a plurality of sample executions of the computer program;

~~(c) updating the estimated frequency data to maintain accuracy of said frequency data during compilation in a direction of increasing exactness;~~

~~(d) (c) performing an optimization of the first intermediate representation annotated with the estimated frequency data updated in step (c) to produce a transformed intermediate representation; and~~

(d) updating said estimated frequency data to maintain accuracy of said estimated frequency data during compilation in a direction of increasing exactness of frequency data based on the transformed intermediate representation caused by the optimization; and

(e) repeating steps (c) and (d) at least once during the same compilation pass.

21. (*previously presented*) The method of claim 1, wherein said frequency data comprises both inexact and exact values.

22. *(currently amended)* The method of claim 1, wherein step ~~(c)~~ (d) updates said frequency data from GUESS to EXACT values.

23. *(currently amended)* The method of claim 1, wherein step ~~(c)~~ (d) updates said frequency data from UNKNOWN to GUESS values.

24. *(currently amended)* The method of claim 1, wherein step ~~(c)~~ (d) updates said frequency data from UNINIT to GUESS values.

25. *(previously presented)* The method of claim 1, wherein said optimization is performed in a direction of decreasing exactness.

26. *(previously presented)* The method of claim 1, wherein said optimization is performed locally, and the updating is performed globally.

27. *(previously presented)* The product of claim 6, wherein said frequency data comprises both inexact and exact values.

28. *(currently amended)* The product of claim 6, wherein said ~~third~~ fourth computer readable program code means includes:

computer readable program code means for causing the computer to update said frequency data from GUESS to EXACT values.

29. (*currently amended*) The product of claim 6, wherein said ~~third~~ fourth computer readable program code means includes:

computer readable program code means for causing the computer to update said frequency data from UNKNOWN to GUESS values.

30. (*currently amended*) The product of claim 6, wherein said ~~third~~ fourth computer readable program code means includes:

computer readable program code means for causing the computer to update said frequency data from UNINIT to GUESS values.

31. (*previously presented*) The product of claim 6, wherein said optimization is performed in a direction of decreasing exactness.

32. (*previously presented*) The product of claim 6, wherein said optimization is performed locally, and the updating is performed globally.

33. (*previously presented*) The method of claim 9, wherein said frequency data comprises both inexact and exact values.

34. (*currently amended*) The method of claim 9, wherein step ~~(e)~~ (d) updates said frequency data from GUESS to EXACT values.

35. (*currently amended*) The method of claim 9, wherein step ~~(e)~~ (d) updates said frequency data from UNKNOWN to GUESS values.

36. (*currently amended*) The method of claim 9, wherein step ~~(e)~~ (d) updates said frequency data from UNINIT to GUESS values.

37. (*previously presented*) The method of claim 14, wherein said frequency data comprises both inexact and exact values.

38. (*previously presented*) The method of claim 9, wherein said optimization is performed in a direction of decreasing exactness.

39. (*previously presented*) The method of claim 9, wherein said optimization is performed locally, and the updating is performed globally.

40. (*currently amended*) The method of claim 14, wherein step ~~(e)~~ (d) updates said frequency data from GUESS to EXACT values.

41. (*currently amended*) The method of claim 14, wherein step ~~(e)~~ (d) updates said frequency data from UNKNOWN to GUESS values.

42. (*currently amended*) The method of claim 14, wherein step ~~(e)~~ (d) updates said frequency data from UNINIT to GUESS values.

43. (*previously presented*) The method of claim 14, wherein said optimization is performed in a direction of decreasing exactness.

44. (*previously presented*) The method of claim 14, wherein said optimization is performed locally, and the updating is performed globally.

45. (*previously presented*) A method for precise feedback data generation and updating during compile-time optimizations, within an optimizing compiler, comprising:

(a) accessing an intermediate representation of source code of a computer program, wherein the intermediate representation includes instructions instrumented into the source code;

(b) annotating the intermediate representation with frequency data from a plurality of executions of the computer program;

(c) performing an optimization to produce a transformed intermediate representation;

(d) re-annotating the transformed intermediate representation, wherein step (d) comprises:

(i) constructing a control flow graph, wherein said control flow graph includes a plurality of nodes representing portions of the transformed intermediate representation, wherein said control flow graph further includes a plurality of edges, each edge representing a relationship between one of the nodes to another node;

(ii) applying available frequency data to an edge to set an incoming edge frequency or an outgoing edge frequency for a node;

(iii) propagating a known edge frequency to set an unknown edge frequency for a node; and

(iv) re-annotating the transformed intermediate representation with the edge frequencies from the control flow graph; and

(v) repeating steps (c) and (d), at least once during the same compilation pass, wherein step (c) includes performing an optimization of the re-annotated transformed intermediate representation from step (d) to produce a transformed intermediate representation for re-annotating at a subsequent execution of step (d).

46. *(previously presented)* The method of claim 45, wherein step (d)(iii) comprises:



(a) setting an unknown edge frequency for an outgoing edge to a difference between a sum of all known incoming edge frequencies and a sum of all known outgoing edge frequencies when all incoming edge frequencies are known and all but one of the outgoing edge frequencies are known;

(b) setting an unknown edge frequency for an incoming edge to a difference between a sum of all known outgoing edge frequencies and a sum of all known incoming edge frequencies when all outgoing edge frequencies are known and all but one of the incoming edge frequencies are known;

(c) setting an unknown edge frequency for an outgoing edge to zero when all incoming edge frequencies are exact values and the sum of all incoming edge frequencies equals the sum of all outgoing edge frequencies; and

(d) setting an unknown edge frequency for an incoming edge to zero when all outgoing edge frequencies are exact values and the sum of all outgoing edge frequencies equals the sum of all incoming frequencies.

47. (*previously presented*) The method of claim 45, wherein step (d)(iii) comprises:

denoting a node as being a non-exception node when the total incoming edge frequency and the total outgoing edge frequency for the node are required to be equal.

48. *(previously presented)* The method of claim 47, wherein step (d)(iii) is only executed on the non-exception node.

49. *(previously presented)* A method for precise feedback data generation and updating during compile-time optimizations, within an optimizing compiler, comprising:

(a) accessing an intermediate representation of source code of a computer program, wherein the intermediate representation includes instructions instrumented into the source code;

(b) annotating the intermediate representation with frequency data from a plurality of executions of the computer program;

(c) performing an optimization to produce a transformed intermediate representation;

(d) re-annotating and verifying the re-annotation of the transformed intermediate representation; and

(e) repeating steps (c) and (d), at least once during the same compilation pass, wherein step (c) includes performing an optimization of the re-annotated transformed intermediate representation from step (d) to produce a transformed intermediate representation for re-annotating at a subsequent execution of step (d).

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50. *(previously presented)* The method of claim 49, wherein step (d) comprises:

evaluating a portion of the transformed intermediate representation to classify a corresponding frequency data annotation as being uninitialized or invalid.

51. *(previously presented)* The method of claim 49, wherein step (d) comprises:

evaluating a portion of the transformed intermediate representation to classify a corresponding frequency data annotation as being exact, estimated, or unknown.

### ***Reasons for Allowance***

Claims 1-51 are allowed.

2. The following is an examiner's statement of reasons for allowance: the prior art of record fails to teach or suggest the claimed invention. Specifically, the prior art of record fails to teach or suggest annotating an intermediate representation with frequency data, optimizing said representation producing a transformed intermediate representation, then updating said frequency data increasing exactness based on the transformed intermediate representation and repeating optimizing and updating at least once during the same compilation pass, as recited in the independent claims.

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The prior art of record, **Bortnikov** et al. (USPN 6,209,004) and **Goebel** (USPN 6,139,200), disclosed profile base optimization techniques. However, the cited references failed to disclose the independent claims as recited.


Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

### ***Correspondence Information***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to William H. Wood whose telephone number is (571)-272-3736. The examiner can normally be reached 9:00am - 5:30pm Monday thru Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kakali Chaki can be reached on (571)-272-3719. The fax phone numbers for the organization where this application or proceeding is assigned are (571)273-8300 for regular communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703)305-3900.

  
William H. Wood  
February 21, 2006

  
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